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ABSTRACT

This monograph, prepared to assist Georgia elementary principals to better understand accountability and its implications for educational improvement, sets forth many of the theoretical and philosophical bases from which accountability is being considered. Leon M. Lessinger begins this 5-paper presentation by describing the need for accountability and a definition of educational accountability. David J. Mullen next attempts to place accountability within the larger framework of an open systems approach and suggests that performance contracting can be a helpful tool in developing educational technology. C. W. McGuffy then comments on alternative strategies to accountability, focusing particular attention on planning, programing, and budgeting (PPBS) as a means of greater accountability. Michael B. Gilbert presents an overall treatment of accountability as an educational concept, and John T. Greer concludes the presentation with a practical model for would-be accountable innovators. (Author)

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ACCOUNTABILITY

Edited by

David J. Mullen

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FOREWORD

Accountability is an oft heard word these days and this monograph published jointly by the Georgia Association of Elementary School Principals and the Bureau of Educational Studies and Field Services, University of Georgia, is a timely one.

When we talk about accountability, I am reminded of a quote from Henry David Thoreau, "The cost of a thing is the amount of what I call 'life' which is required to pay for it, immediately or in the longrun."

The amount of life required to pay for the movement toward accountability in Georgia may or may not be more than we want to pay. We are talking about the lives of thousands of boys and girls who are being educated in our state.

The articles in this monograph are such that all educators and laymen who will be encountering the term "accountability" and expected to take action should read. Through reading these articles all of us will be in a better position to decide whether we are prepared to pay the longrun cost which Thoreau alludes to.

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PREFACE

The elementary school principal is already or is about to be swept up in the "accountability tidal wave." Since the main efforts to put accountability into practice have taken the form of performance contracting in the skill areas, the elementary school becomes a focal point for the concept of accountability.

At our Spring Drive-In Regional Conferences Mr. Joel Kaye of Learning Foundations Corporation reported that superintendents throughout the country were becoming increasingly interested in performance contracts to deal with achievement in reading and mathematics in the elementary school. Because the skill areas of reading and mathematics are so vital and because these subjects often form the backbone of the elementary school program, it is reasonable to expect that the elementary schools will carry the major brunt of the accountability and performance contracting surge.

This monograph sets forth many of the theoretical and philosophical bases from which accountability is being considered. It also provides some hints of ways in which educators can be "accountable."

The lead article by Lessinger describes the need for

accountability and a definition of what it means to be educationally accountable. Lessinger sees great promise for American education through application of the concept of accountability.

Mullen attempts to place accountability in the larger framework of an open systems approach. He suggests that performance contracting can be a helpful tool for developing educational technology. Mullen also identifies some of the other major factors to be given consideration for increasing educational productivity.

McGuffey from his rich background of experience with Texarkana and other performance contracts comments on alternative strategies to accountability. He focuses particular attention on a performance management system; namely PPBS (planning, programming, budgeting) as a way to move toward greater accountability.

Gilbert's article is an excellent overall treatment of accountability as an educational concept. Gilbert has done an extensive review of the literature and has pulled together some helpful ideas and statements about accountability.

And the final article by Greer ends on a positive note by describing a practical model for being an accountable innovator. The model is one that all elementary principals

will find useful as they deal with change of any kind. Whereas the earlier articles in the monograph are largely theoretical, Greer's article is highly practical and has concrete suggestions on how to bring about meaningful change.

This monograph will serve its purpose if it provides the principal with some deeper understanding of what accountability is and what it means for an elementary principal to be accountable.

David J. Mullen
Editor

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ACCOUNTABILITY: AN EMERGING CONSTRUCTIVE FORCE IN EDUCATION

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In the conduct of human affairs, the subject of keeping promises is always an important one. In a time of tradition-wrenching change--our time, when essential service must be gotten from complex, bureaucratically organized enterprise--the subject is critical. Making, breaking, and delivering promises in a simpler society is qualitatively different than that in a more complex, technologically-stressed one. In a simpler society, a person's word is his bond, and a firm handshake is enough to seal a bargain. Failure to deliver on a promise is easy to observe, and the consequence of a broken promise is more likely to be easier to overcome. That this is not true in our current setting can be attested by all of us who have experienced defective machinery, shoddy and dangerous service, and even mal-practice in enterprises specifically set up for the common weal. Accountability speaks to the subject of keeping promises.

As a broad and philosophical mind-set, accountability has many practical applications. One such application has a special interest to educators and other persons in social enterprises--so-called accountability policies. Accountability as policy carefully specifies precisely that for which a person or organization is responsible and to whom the answering or reporting must be made.

It is, in this guise, a"legal" declaration adopted by a body such as a school board or a state legislature mandating an independent review of dollars spent and/or programs mounted to achieve promised results. Accountability as policy rests on three fundamental bases: promised or intended accomplishment, an independent assay or audit of actual accomplishment, and a public report containing information about the dollars and resources used to deliver the actual results. Seen from this practical side, accountability is the policy framework of enterprise productivity--the stimulus for direction, feedback and inspection of both efficiency and effectiveness. Given the well-documented and widely-supported demand for fundamental educational reform, accountability as policy together with successful implementation of that policy can be a most powerful catalyst in basic school improvement.

A few examples of state and local school system approaches may be helpful.

The Florida Department of Education has officially embraced the following:

1. By the end of 1972, techniques for improving educational management will be available and readily accessible to all school districts in Florida. These will include techniques for (a) obtaining criterion-referenced measures of pupil achievement in grades K-6 in basic skills areas taught in those grades, (b) obtaining detailed analyses of educational costs, and (c) obtaining analyses of the effectiveness of resource utilization, with recommendations for improvement.

2. By the end of 1974, competencies expected of teaching personnel in elementary and secondary schools will be clearly identified. Evidence will be available showing relationships between teacher competencies and pupil learning. Teacher training techniques will be available for use in preservice and inservice teacher education programs which are aimed at the specified competencies. Evidence will be available to state policy makers which shows the extent to which teacher effects on pupil learning support various credentialling requirements.

3. By the end of 1976, techniques will be available and accessible to each school district which will make it possible

for every child who is not severely handicapped to master the basic skills of communication and computation during the elementary grades of schooling at an average per pupil cost which is within the range of the normal operating budget of any school district in Florida.

The Oregon State Board of Education has adopted a series of position papers which could form the basis for a set of policies in the fields of reading, finance, vocational education and the like. The following is a sample of the requirements laid on school districts of that state in reading. They must identify their instructional objectives and carry on a continuous process of evaluation to determine the effectiveness of instruction in reducing the pool of nonreaders or poor readers; be accountable for data on their effectiveness in teaching the basic skills; assure continuity in the skill-getting process. Teacher educators must: strengthen the preparation of candidates in ways that will help the classroom teacher understand components of the reading process, identify those in which the pupil is deficient, and be competent in appropriate ways of assisting the learner or know where to send him for assistance. Among many proposed outcomes the Board has adopted as its objective: "to insure

that there are no gaps in the instruction of children in the skill-getting processes."

A Dallas Independent School District policy recently adopted calls for competence, by 1980, in a saleable skill of individual choice by every high school graduate. Many more examples from across the nation could be added. Clearly an important change has come into American education. Leaders are describing in policy terms their demand for student accomplishment as a result of an educational process.

A recent Gallup Poll (Fall 1970) reveals that nearly 80% of the population wants some form of accountability for the close to 20 cents of every tax dollar spent on education. The President in a special education message in March of 1970 had stated, "From these considerations we derive another new concept: Accountability. School administrators and school teachers alike are responsible for their performance, and it is in their interest as well as in the interests of their pupils that they be held accountable." Governor Russell W. Peterson of Delaware, current Chairman of the Education Commission of the States, in his inaugural speech before the July, 1970 commission convention had amplified the motivation behind accoutability as a demand upon the schools when he stated:

> I winced a little in reviewing my objectives for education from the same speech (his "Future of the State" message). All the goals are inputs, such as completing the institution of state-supported kindergartens; establishing community schools; completing the upgrading of occupational-vocational education; and establishing pre-kindergarten programs by 1976. Why couldn't I list as goals for education:
>
> Reducing the high-school dropouts by 50% or
>
> Insuring that every child who left the schools could read and comprehend political and economic news, so that he could function effectively as a literate voter in our democracy?

Few would argue the governor's question or quarrel with the right of the people to hold their institutions accountable for results. But enlightened and compassionate leaders, under the close and proper scrutiny of professional groups recognize that the actual implementation of such policy demands would be difficult, frustrating, and fraught with challenge.

Traditionally and presently in education virtually the only standards there are relate to input--to number of teachers, books, space, laboratories, money available and the like. School people find themselves forced to the defensive when they are questioned about quality of performance--even by friends--because they simply do not know either how well or how poorly students are doing. They cannot describe how close our schools come to accomplishing what they aim to

accomplish or what any state or local community wants them to accomplish. They have no measure of progress, or the lack of it, over a span of time. They cannot identify, in terms of intended learning, the strengths or weaknesses of a single school or school system.

To meet the legitimate demands of accountability for results in education will require all of us to come to grips with what is really wrong: our outmoded traditions and ways of delivering and paying for education are no match for the heavy (and vague) burdens we place upon them. Stated bluntly, the problems we face are symptoms of deeper trouble in our schools. We need quickly to improve our management, our instructional practices, our ways of regarding children and our fundamental notions of the role of educational institutions. In short we need new capability to discharge the burden of accountability. We dare not leave untouched the present methods of providing education on the assumption that they could work just fine. And the standard approach, simply providing more dollars (necessary though <u>that</u> is) without major reform, won't buy better education. It will simply mean more expensive status-quo education.

Before I indicate some constructive ways to deal with accountability as policy, it would be well to get the problem

in some additional perspective. Congresswoman Edith Green is helpful here. In a speech before the same group as Governor Peterson she said:

> We have imposed upon ourselves and our children the most radical ideal in history--educational opportunity for all--and at the same time we are striving constantly for a new standard of excellence. To recount only the failures, and not the successes of the public school system, is a distortion of the truth. And it is a very dangerous distortion, for it gives the priests of violence, presently in our midst, the rationale for their messages and acts of destruction. But pride in past effort and past accomplishment cannot be taken as a license to sit back in blissful self-content. And if the demands of the past were great, those of the present, of course, are much greater.
>
> The testimony of educators before our committee has not been a catalogue of defeat. It is a catalogue of problems which belong not just to our schools, but to our entire society. . . . The schools are on the front lines. We fail if they fail, and we succeed as they succeed.[1]

Roger Lennon in an invited address to the American Educational Research Association in New York, February 5, 1971, adds some additional reminders.

> To pretend that only under the goad of accountability would we recognize that the effectiveness of education must be sought in evidences of pupil learning is to impugn needlessly the good sense and good will of countless generations

---

[1]Edith Green, "Problems and Priorities in the 1970's" in Compact, October 1970, Vol. 4, No. 5, p. 65.

> of educators. After all, the notion that compensation of an instructor should depend on student attainment goes back at least to the time of the medieval universities.

And he continues:

> So, the notion of pupil learning as the proper criterion in the establishment of accountability is in no sense new. Accountability, we might say, is an idea whose time has come--again, or perhaps an idea whose time is always.

To fulfill the potential of accountability as a constructive force in education will demand carefully reasoned answers to several basic questions:

(1) What are the schools to be responsible for?;

(2) Who shall be accountable?;

(3) How shall accountability be established?;

(4) By whom shall accountability be determined?; and

(5) What alternative strategies and techniques shall be most useful in enhancing and supporting accountable school enterprises?

Answers to these questions accompanied by resources and change strategies to implement accountability policies should further educational reform. Two change strategies which throw light both on the questions and provide resources are now explored. These are developmental capital and performance

contracts. Together they provide a link-up of dollars to teacher service and student learning.

Developmental capital is the money set aside for projects available for bid to teachers and/or private enterprise. Such money can be the "energy" of educational productivity, because successful bidders under the prod of competition must obey the mandate to show results in a cost-effective manner. Business typically budgets amounts varying from three to more than fifteen per cent for improved products, service, sales or capability. Schools need such funds around which to hold bids to show results. Were legislatures and school boards regularly to pattern their funding--setting aside one to two per cent for the purposes of demonstrating improved results and then turning those results into regular use in the classroom--the effect on school improvement would be dramatic. Here the performance contract with private enterprise or with teachers can be very powerful, for the performance contract can be the vehicle to employ the developmental capital.

The idea of contracting for products and services is older than free enterprise. Its basic appeal centers on its attention to four things most leaders agree are desperately needed in education--quality control, knowledge of results,

payment linked to performance and a sure means to get better and more cost-conscious techniques into regular classroom use swiftly and practically. In my recent book, Every Kid a Winner: Accountability in Education, published by Simon and Schuster, these topics are treated at greater length.

Of course, performance contracting is only one response to a policy demand for accountability. It appeals to many as the solution because it seems to be a direct way to bring the much-needed new instructional and managerial capability to the schools. Recent contracts with teachers and the use of incentives suggests that there are other solutions as powerful or even more powerful.

Given a set of clear accountability policy demands and an enlightened support program to help personnel meet the demands, several important benefits can occur. Some of the more important consequences are now described:

1. The focus of the schooling enterprise will dramatically shift from telling or lecturing as teaching to learning from courses taken to competence demonstrated.
2. People will understand and appreciate the independence of teaching and learning. There can be teaching without learning and learning without teaching. What counts is the quality of teaching--and this is determined by results.

3. The bases of the notion of "quality" education will be altered. Accreditation will focus on achievement, on accomplishment, on student competence as emphatically as it is now done on such process indicators as degrees help by teachers, space provided, and dollars spent.

4. There will be a drastic impact on teachers who "curve" students, thus regularly failing a proportion of the class, and we shall see the growth and adoption of real standards --criterion referenced and performance standards--instead of relative positioning on vaguely known validation groups.

5. Labelling of students as slow, or retarded, or underachieving or culturally disadvantaged and the like will be recognized as self-defeating and poor substitutes for professional expertise, and serious attempts will be made truly to individualize instruction.

6. Educators will scramble to develop a technology of instruction--to find and use "what works." It must be remembered that technology includes but is not limited to equipment. The probability is high that in instruction, the most important part of what works is competence in interpersonal behavior and motivation.

7. The educational practitioner will begin to distinguish between good educational practice, poor practice and

mal-practice--and more swiftly and adroitly to strengthen poor practice and eliminate mal-practice.

8. A serious new attempt will be made to understand and develop productivity in education, including the search for more cost-effective educational processes.

9. Issues long avoided will finally be seriously confronted. Among the more important of these issues will be the following:

   a. What are the unique contributions of the school system to the broader societal education system and what are its limitations?

   b. What arrangements and consortia can be developed to enable schools to carry burdens for which they lack capability?

10. Collective-type bargaining will become more balanced as both sides develop proof of results. Boards will have a basis for quid pro quo and teachers, as they prove successful in demonstrating the elimination of deficits in children and proving their professional expertise, will demand and receive impressive salary recognition.

11. Accountability will force the changes in teacher education and training so long demanded by those within and outside the profession.

William James, the great Harvard psychologist, observed that we can gain good habits by acting out the desired habit until it becomes automatic.

In the 1970's, we ought to act as if public schools are on trial and public education is threatened. . . it is.

In the 1970's, we who are paid employees in education ought to act as if the credibility of our profession depends upon our becoming accountable for improved student accomplishment. . . it does.

Accountability in education can bring on a set of capabilities to close the gap between what we intend and promise in behalf of children and youth and what we in fact actually deliver.

ACCOUNTABILITY, PERFORMANCE CONTRACTING AND EDUCATIONAL IMPROVEMENT

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In answer one day to a friend's inquiry, "How's your wife?", James Thurber is reputed to have countered, "Compared to what?" The topic of this article "Accountability, Performance Contracting and Educational Improvement," is a little like Thurber's wife. Before evaluative statements about accountability can be made, it is important to know the frame of reference being used. It is also important to remind ourselves that the arena of today and tomorrow for our mind-to-mind combat is no safe place for single-trackers (all we need to do is. . .). Who was it who predicted a bright future for complexity?

The writer believes that it is safe to assume that public schools and those who are associated with them are seriously interested in producing the best possible educational product. In spite of giant strides and best efforts in the past decades, professional school people and the

public are less than satisfied with educational accomplishments. The word accountability is echoing and re-echoing all around us.

Dr. Leon Lessinger (Fall 1970) during a speech to elementary principals in Savannah defined accountability as the matching of intents to results. Who among us would argue with the necessity of being accountable - of matching intent to results? However, the term accountability provides a slogan - it does not help us to understand the problem.

The purpose of this article is to share with the reader the author's attempt to understand. In doing so it is not the writer's intent to lament or condemn, but to look at performance contracting in the broader perspective of the educational enterprise. He will attempt to place performance contracting in this perspective by sharing his understanding of the major factors affecting productivity and performance in the public school setting.

THE CONCEPT OF SYSTEM

Today we hear much about the establishment - the system. Many people feel that the system is some uncontrollable monster that has captured our lives and which controls our

destinies. Perhaps, there is an element of truth in this feeling, not because of the nature of system, but because we have not taken the time to attempt to understand what constitutes the concept of system and have not studied how we can deal constructively with this concept.

Kast and Rosenzweig (1970, p. 18) claim that systems can be considered in two ways: 1) closed or 2) open and interacting with their environments. They further state that closed-system thinking stems primarily from the physical sciences and is applicable to mechanistic systems; and that many of the earlier concepts in the social sciences and in organization theory were closed system views because they considered the system under study as self-contained. A characteristic of closed systems is that they have a tendency to move toward a static equilibrium and entropy. James G. Miller (1965, p. 195) states, "The disorder, disorganization, lack of patterning, or randomness of organization of a system is known as its entropy."

If we deal with performance contracting and accountability in the closed system framework, it will be another educational innovative blind alley which instead of helping us to be more accountable will lead us into further disorder, disorganization, and randomness. Off we go into

another "Wild Blue Yonder" chasing a panacea, and ending up in frustration and disillusionment.

In contrast, the open system concept views the organization as a structured sociotechnical system. A. K. Rice (1963, p. 182) states:

> Trist's concept of the socio-technical system arose from the consideration that any production system requires both a technological organization relating those who carry out the necessary tasks to each other. Technological demands limit the kind of work organization possible, but a work organization has social and psychological properties of its own that are independent of technology /p. 182/.

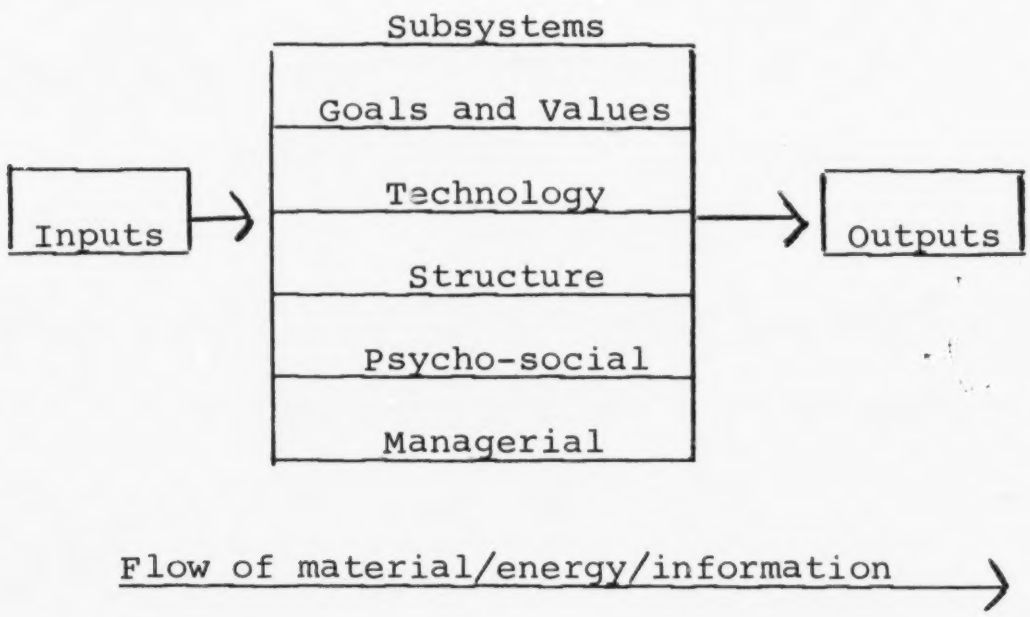
Under this view an organization is not simply a technical or a social system. Rather, it is the structuring and integrating of human activities around various technologies. The technologies affect the types of inputs into the organization and the outputs from the system. However, the social system determines the effectiveness and efficiency of the utilization of the technology.

Kast and Rosenzweig (1970, p. 120) maintain that technical subsystems are determined by the task requirements of the organization and vary widely. The technical subsystem for the manufacture of automobiles differs significantly from that in an educational institution. The technical subsystem is shaped by the specialization of knowledge and skills required, the types of equipment involved, and the layout of facilities.

In addition to the technical subsystem, the school organization has within its boundaries a psycho-social subsystem, which consists of the interactions, expectations, aspirations, sentiments, and values of the participants. However, it must be emphasized that these two subsystems, the technical and the psycho-social, cannot be looked at separately but must be considered in the context of the total organization. Any change in the technical subsystem will have repurcussions on the social subsystem and conversely.

The organization structure (Kast and Rosenzweig, 1970, p. 121) can be considered as a third subsystem. The task requirements and technology have a fundamental influence on the structure. Structure is concerned with the ways in which the tasks of the school are divided into operating units and with the coordination of the units. In the formal sense, structure is set forth by the organization chart, by positions, and job descriptions, and by rules and procedures. It also concerns the pattern of authority, communications, and work flow. In a sense, the organization structure provides for formalization of relationships between the technical and psycho-social systems which bypass the formal structure.

Kast and Rosenzweig (1970, p. 121) present a simplified model of viewing an organization as an open socio-technical system.



In this model the goals and values, as well as the technical, structural, psycho-social, and managerial subsystems are shown as integral parts of the overall organization.

As in industrial orgarizations, the traditional administrative practices in schools have emphasized the structural and managerial subsystems. It seems that the human relationists emphasized the psycho-social subsystem and focused their attention on motivation, group dynamics, and other related factors as an emphasis for school improvement. The management science school emphasized the technical subsystem

and techniques for quantifying decision-making and control processes. Thus each approach to school improvement has emphasized particular primary subsystems, with little recognition of the importance and relationships of the others. The emerging approach,and in the view of many current authorities the proper one, views the school organization as a structured sociotechnical system which considers each of the primary subsystems and their interactions.

It is within this framework of an open sociotechnical system that this article addresses itself to the topic of accountability and performance contracting and what they mean to educational improvement. Performance contracting compared to an open sociotechnical system. Now the author is writing about accountability and performance contracting not as a panacea but rather what part or contribution they have to play in the educational enterprise.

Let us look briefly at some of the subsystems described above and their relationship to accountability and performance contracting.

GOALS AND VALUES

In order to be accountable in public education, some decisions must be made about what we should be accountable

for, and who should make those decisions. The key issue in accountability lies in this area of goals and purposes of education. Are we to be accountable to the purposes which any powerful group on either the extreme left or the extreme right lay down for us? Are we to be accountable only for skill development in a strict Skinnerian model? That is, teach children to read in the same manner that pigeons are taught to play table tennis at the risk that children will not learn to comprehend, apply, analyze, snythesize and evaluate? The answer to questions raised by the issue are not given here but it is emphasized that accountability in the larger sense of the word is meaningless unless the issue is dealt with. Accountability and performance contracting have meaning for the writer only to the extent that he knows how they contribute to the general goals and purposes of education, and how these goals and purposes are related to all the subsystems described earlier; i.e., the technology, structure, psycho-social, and managerial. Accountability to whom and for what needs to be answered in the larger sense before we can tap its full potentiality for educational improvement in the smaller sense.

TECHNOLOGY

Having raised the issue about accountability to whom and for what in the larger sense does not imply that we must wait for answers to important questions raised by the issue to deal with the need to develop our educational technology. The state of our technology is in such a condition that we must move on this front immediately, we cannot wait for tomorrow.

In the narrowest sense educational technology refers to the physical things, machines, materials, and equipment used in the educational process. As Kast and Rosenzweig (1970, p. 141) point out, in a more general sense technology also refers to knowledge and skills concerning the performance of certain tasks or activities. Charles R. Walker (1962) suggests that technology has both an outer and an inner aspect.

> Modern technology may be perceived as an environment within which we live, made up of external and tangible things which we modify from time to time and which modify us. . . . Modern technology can also be viewed internally. In this sense it consists of skills of body and brain, of technical and administrative procedures, and of mental processes, both conscious and unconscious, some of them associated with value judgments which relate man's outer world to his inner one /pp. 2-3/.

The teacher may employ the textbook in performing his teaching tasks, but he also uses a technology based upon his knowledge of the teaching learning process.

Much of our present technology in education (internal and external aspects) is inadequate. Too many of our textbooks and other instructional materials are written for some general population which can be sold and used for a particular grade level anywhere in the United States. In writing textbooks in this manner and for this kind of a general usage, all kinds of assumptions about prerequisite skills and knowledges of students and teachers are incorrectly made.

Diagnostic and achievement tests are often unrelated to the texts in use. Teacher tests are too often constructed out of models drawn from their own experience as students in college. Teaching techniques are based more upon the art of teaching than the science of teaching and learning.

Whose fault? Who is or should be accountable for the state of the educational technology? The teacher? the school? the teacher training institution? in-service programs? None of the above are primarily at fault, and we could spend untold billions of dollars trying to improve

the educational technology through the forementioned agents and agencies and still not do the job that needs to be done.

Why does the writer claim that none are primarily at fault? Because he has worked as a teacher, a school administrator, a teacher educator, a teacher educator administrator, a curriculum director responsible for the development and writing of textbooks for an entire nation in another country and presently as an educator responsible for training educational administrators; and he confesses that with all of his committment, dedication, hard work and concern for the development of the educational technology he was not able to do adequately what he knew needed to be done. Some might say, it was his fault, he was not smart enough, etc. Those who make those kinds of accusations may be right, but the writer knows that he did the best he could and that best was not good enough. One advantage of recognizing, as the writer does, that he is more like most other teachers, administrators, curriculum workers, and teacher educators with whom he has worked, is that he can hardly expect these people to do what he was unable to do.

Let us look at a few examples of what the writer is trying to say. In his first teaching assignment in an

elementary school, he found that he was inadequately prepared to deal with the science of teaching and learning. He was a good artist teacher and with a lot of hard work got all kinds of positive recognition from students, parents, fellow teachers and administrators for his artistry and efforts. When it came to test construction, diagnosis of individual deficiencies, development of prerequisite knowledges and skills for concept development, determination of which concepts and skills should be taught for each subject, evaluation and all the other applications and developments of the educational technology which he knew were important, he could not do them adequately no matter how hard he tried. The task was too complex, too demanding. He had to turn to the best materials available and do the best he could with them. If the experts who wrote the textbooks and developed the teacher guides, and made the tests, etc. could not develop adequate materials, how could the writer be expected to do so?

Even after getting a master's degree with depth emphasis in the teaching of reading including work in the reading clinic at a major university, the writer found that he still did not know very much about the teaching of reading and was more dependent on the available materials developed by the

experts than he was on his university training and experience. He really learned to teach reading when he followed the teacher's guide which was, in fact, a form of programming accompanying a basal reading text.

Many of you think that if teachers only were better prepared, evidenced in part by scores on the National Teachers Examination; if they were more committed, worked harder, etc., then all would be well. The author suggests that this is only a small part of the solution and that if tomorrow in Georgia or any other state every public school teacher could be replaced with a college professor from a major university who had a Ph.D. in the area of his new assignment, we would possibly be only slightly better off than we are right now. Do not you remember when you took courses at the University that the artistry of the professors often overshadowed their technology and science of teaching and learning? Give those same professors the same students and conditions which are present in public education below the university level and they would succeed no better than the professional people who are currently working in the public schools.

What is the point? It is simply that there are no simple answers, but in considering the problem through the

view of identifying the primary subsystems one of which is technology that there are some things which we can do to improve the educational process. How can performance contracting contribute to this approach? If the universities, and state departments of education, and other agents and agencies cannot or will not pay attention to the development of better technologies for education in the public schools, then what is wrong with private industry doing it? If there are agents and agencies who can contribute to what needs to be done, even if they are operating from the profit motive, let them do it. But let us use them and not let them use us.

If an agency such as Research for Better Schools in Philadelphia can develop a new math textbook in the elementary school program which is a single textbook for all six grades and has a supporting technology of diagnostic tests, accompanying instructional materials which permits a youngster to plug into that textbook regardless of which grade he is in, what prerequisite knowledges and skills he possesses, or who his teacher might be, or which school or community he attends and lives in; then this sounds to me like a better technology than most currently in use. Granted,

the IPI program being developed by Research for Better Schools still leaves much to be desired, but we have to start somewhere. When the United States decided to send a man to the moon, our first technological efforts at building the rocket vehicles fell short of accomplishing the objective. But as a nation committed to go to the moon, we put those first efforts in the perspective of what was needed to be done in order to get to where we wanted to go.

This is what we need to do in education. We have committed ourselves to providing education for all individuals in our society. In doing so we are beginning more and more to recognize the need for the individualization of instruction. Now we need to honor that committment by exploring every possible avenue for the development of an appropriate technology and at the same time recognize that our technology in education is at the stage where those first efforts were when we decided to send a man to the moon.

But educational technology is only part of the problem and consequently only part of the solution. If we had our goals ideally defined and perfectly programmed in perfect computers, we still would have to have people to learn and people to manage the enterprise in some school organizational structure existing in some social environment. Rather than

dealing with the structure, psycho-social, and the managerial subsystems separately, they are treated collectively.

STRUCTURE-PSYCHO-SOCIAL-MANAGERIAL

Individuals in social relationships make up the psycho-social system in organizations. The general atmosphere is affected by many variables; some integral, others peripheral. Societal culture sets an overall framework; educational mores and practices have an impact; and many other variables are peculiar to the specific educational organization. Technology and structure affect educational organizational productivity, as do the attitudes and morale of the students and staff involved.

The behavioral and the management sciences have much to tell us about our educational organizations. Rensis Likert (1967) is a social scientist who has summarized many of the findings in the management of human resources in his book, The Human Organization. For over a period of many years, Likert has been conducting research in industry about factors in the structural, psycho-social, and managerial subsystems which contribute to increased productivity.

Based upon the principle and practices of the managers who are achieving the best results, Likert (1967, chap. 8)

states a newer theory of organization and management. The following ideas are an abstract of some of the overall characteristics of Likert's theory and a general integrating principle which he feels can be useful in attempts to apply it.

The highest producing managers use all of the technical resources of the classical theories of management as completely as do the low-producing managers, but in quite different ways. The difference is that high producing managers use motives which they believe are important to influencing human behavior; whereas the low-producing managers more often use direction, control, and motivation through the exercise of their status authority and the application of hierarchial and other economic pressures. In essence, by tapping the full strength of all ego, economic and group motives, the high producing managers have developed their organizations into highly motivated, cooperative social systems wherein members of the organization pull concertedly toward commonly accepted goals which they have helped to establish.

How do these high-producing managers do this? One clue gathered from the data shows that treating people as "human beings" rather than "cogs in a machine" is a variable

highly related to the attitudes and motivation of the subordinate at every level in the organization.

Likert (1967, p. 102) shows through his studies and points out that similar data from other studies reveal that subordinates react favorably to experiences which they feel are supportive and contribute to their sense of importance and personal worth. Likert also points out that these findings are supported by substantial research on personality development and group behavior. Everyone wants to feel that he has a place in the world and deserves appreciation, recognition, influence, a feeling of accomplishment, and a sense of dignity and importance with other people.

High producing managers use the above motivating forces by recognizing that they are likely to be discerning and reinforcing when each individual in the organization feels that his interactions with others in the organization are of such a character that they convey to the individual a feeling of support and recognition for his importance and worth as a person.

Not only is it important to use relevant motives but it is also essential to recognize that an individual's reaction to any situation is always a function, not of the absolute character of the interaction, but of his perception of it.

"It is how he sees things that count, not objective reality /p. 102/." Individuals in an organization interpret interactions between themselves and the organization in terms of their background and culture, their experience and expectations.

The principle of supportive relationships stated by Likert (1967) is:

> The leadership and other processes of the organization must be such as to ensure a maximum probability that in all interactions and all relationships with the organization each member will, in light of his background, values, and expectations, view the experience as supportive and one which builds and maintains his sense of personal worth and importance /p. 103/.

What Likert and others have been discovering through research studies is that the supportive-participative management system achieves higher, or at least equal, productivity levels with appreciably fewer of the resentments, hostilities, grievances, and breakdowns inherent in management systems using the traditional principles of administration.

Likert (1967) raises the question:

> If this pattern is so consistent, why is it that the majority of supervisors, managers, and top company officers have not arrived at these same conclusions based upon their own experiences /p. 61/?

He goes on to answer his question by saying that the answer lies in the inadequacy of the measurement processes used by most companies. It seems that most organizations secure measurements dealing with end results such as production, sales, profits, and percentages of net earnings to sales. According to Likert, there is another class of variables which significatly influence the end results and which are seriously neglected in present measurement practices. This other class of variables which he labels as intervening variables reflect the current condition of what kinds of management and leadership yield the best results. He states further that the situation is often confused because pressure-oriented, threatening supervision can achieve impressive short-run results, particularly when coupled with high technical competence. It seems clear from the research evidence, however, that such increases in production obtained through pressure are obtained at a substantial and serious cost to the organization.

To get a more accurate picture of organizational health and productivity, it seems to be important that measurement processes must be able to show what is happening with regard to <u>casual variables</u> such as management, philosophy, supervisory behavior, and organizational structure; <u>intervening</u>

variables such as attitudes, expectations, and motivational forces; and end-result variables such as program, cost and achievement.

SUMMARY

Accountability, performance contracting, and educational improvement compared to an open system view, the author concludes, leads to an optimistic viewpoint that the light is appearing at the end of the "educational tunnel." We are beginning to understand the problem,and this understanding permits us to begin to ask the right questions. Since the kinds of answers we get depend upon the kinds of questions we ask, it is of utmost significance that we are beginning to ask the right questions.

Our challenge then is to seek ways and concepts such as performance contracting and accountability and use these as means to improve our educational productivity. There is much danger ahead if we forget to place performance contracting, accountability and other such educational directions in perspective of the larger educational system. If performance contracting and accountability become ends rather than means, then we will become lost in a quagmire of confusion.

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ACCOUNTABILITY: STRATEGIES FOR IMPLEMENTATION

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INTRODUCTION

Education has come full circle in fifty years from a "cult of efficiency" to, what appears to be, "a cult of accountability." Both have common origins in the dehumanizing environment of technology. A goal held in common is greater results for the money spent.

Accountability as used in this paper refers to the responsibility of education managers to expect results from educational effort and to clearly demonstrate acceptable performance to their constituents. A renewed concern for greater efficiency and economy is upon us, whether we like it or not. An all-encompassing system is needed to provide a meaningful approach to the implementation of the accountability principle in the public schools.

The slow pace of improvement in schools concomitant with spiraling costs have contributed to the current demand for greater efficiency and economy. The failure of the schools either to produce desired results or to account for the

inadequacies in doing so have produced the demand for accountability. Unfortunately, many administrators have failed to respond to the growing demand for providing more effective schooling for the children of all people. No longer can this matter be set aside and ignored. We must move from a system of education accountable only to itself to one that is accountable to those who support it and consume its products.

ALTERNATIVE STRATEGIES TO ACCOUNTABILITY

The current ferment has left the practical implementation of the accountability concept somewhat obscure. Different strategies have been advocated. These may be classified as follows: educational engineering, competitive systems, and performance management systems.

Educational Engineering

Educational engineering has numerous advocates including Leon Lessinger, Charles Blaschke and others. It is discussed at length in Lessinger's (1970) book, Every Kid A Winner. The process of educational engineering is embodied in the use of performance contracts "to achieve specific goals within specific time periods for specific costs." Sucn contracts may be either with private enterprise or with teachers, universities or nonprofit organizations. To many, however, this

approach has come to mean the use of the private sector exclusively as the vehicle for making the kind of educational progress which a demanding public expects.

Currently, performance contracting is having a field day. It is being used in a significant number of school districts to deal with a variety of educational problems. Widely publicized projects utilizing this approach are located in Texarkana, Arkansas, and Gary, Indiana.

In actual use, performance contracting takes at least two forms. One is the contracted service where the contractor agrees to instruct a specified group at a given cost to produce a predetermined level of performance. The other is the "turnkey" approach where the contractor not only performs a service as above to prove the worth of his instructional delivery system but also to teach personnel of the school district how to implement the system. In either form the contracting process is similar. Performance specifications are written. Requests for proposals are distributed to qualified prospective technology contractors. Contractors submit bid proposals. Bids are opened and contracts are awarded after the bids and proposals are evaluated. A contract is awarded to the successful bidder.

Performance contracting has its advantages, as well as its limitations. In its most acceptable form, performance

contracting promises the means for an applied form of educational research and development and a more rapid implementation of results into the mainstream of public education. For far too long, too little money has been invested in valid educational research and development activities. Furthermore, the lag between research and implementation in the educational enterprise has been far too great to contribute significantly to direly needed progress in education. The "turnkey" approach as utilized in Texarkana promises to shorten this time lag and put newly developed methods and materials into use more quickly. Proven practices and materials can be integrated into the ongoing program of the school system with some assurance of successful performance.

Performance contracting can also deal more quickly and effectively with the peculiar problems of a target population. Such problems can be isolated and attacked effectively by contracting for the use of an appropriate instructional delivery system. Academic deficiencies can be remedied on a guaranteed time, accomplishment and cost basis. As an alternative strategy for the accomplishment of specific instructional objectives, it may be the most effective means to solve certain instructional problems.

There are disadvantages to performance contracting, also. Unless a "turnkey" approach is used, it represents a threat to

public education as we know it. Some declare it is not the answer to accomplishing the true goals of education. Also performance contracting appears to be limited to those aspects of education that are measurable by standardized tests; thus, there is a limit to the scope of its application in public schools where objectives are more broadly conceived.

Competitive Systems

Strategies involving competitive systems are manifested in the voucher plan and in proposed financial aid to private and parochial schools.

Public education is criticized as an unresponsive, monopolistic system. It has little or no competition. With rare exception, there are few if any alternatives left open to parents. A child must attend the school to which he is assigned. The options are to either move out of the school district or to send children to a private school. Because there is no competition and because parents have a minimum of options, a strategy is needed to allow parents to choose the school which their children will attend. If the local school doesn't offer what is needed or the quality desired, the parents could send their children somewhere else.

The "voucher plan" would provide each child with a voucher with which to buy education. The voucher would be

good at any school which the child wanted to attend. The school would get its money by submitting the voucher to the appropriate government agency. In this fashion, schools would then be placed in competition with each other for students. Parents would have more control over their child's education. School officials would be forced to develop a program to attract and hold children in school if the public school is to survive. The main advantage is that public schools would be more responsive to what people want. In short, school officials would be more accountable for the quality of their schools, because a competitive school economy would exist.

Critics of the "voucher plan" say that it will perpetuate segregation. The NEA has been critical and warned that competition would widen the gap between the poor and the more affluent schools. There is a strong fear that the public school system would be destroyed. Public school funds would be siphoned off by the private and parochial schools.

Performance Management Systems

Strategies in this category have developed independent of the accountability movement. Growing pressures for accountability, however, have spurred their development. Such strategies are concerned with the more effective and efficient

use of available resources geared to obtaining better overall performance. Systems which have been developed include PPBS of the Hitch and McNamara era in the Defense Department. Business and industry, as well as the Defense Department, were among the early users of PPBS. The acronym PPBS means planning, programming, budgeting system.

The PPBS process includes defining the problem, stating objectives, determining alternative courses of action, organizing programs and allocating resources to accomplish objectives, translating program cost elements into specific fiscal and time requirements, and measuring results in terms of objectives.

Schools have been slow to adopt the use of the PPB System. The increasing scarcity of resources together with a greater demand for services in the schools have encouraged the development of such a system. A number of variations utilizing the basic concepts of the PPBS mode are being developed and tested in the school environment. The Educational Resource Management System being developed by the Research Corporation of the Association of School Business Officials of the U. S. and Canada is the best known. Knezevich (1971) advocates a similar system known as the Resource Allocation Decisioning System. Others include SEMOR and RAEM.

These systems are being developed to achieve a more effective and efficient use of available educational resources. These systems also provide a school district with the ability to demonstrate the effectiveness of their school program in meeting its goals and objectives. All of the essential functions of administration are integrated into a total system of management in this approach.

Selected characteristics of performance management systems are as follows:

1. The system is goal-oriented.
2. Programs and budgets are structured on the basis of objectives. Management by objectives is the key to the process.
3. The process provides for the consideration of the most relevant alternatives to a particular plan of action.
4. Procedures used provide the means for periodic review and modification to programs. Innovations are encouraged.
5. An information system is essential to the process.
6. Funds are allocated to programs rather than to line item objects.
7. Long-range fiscal planning replaces the one-year-at-a-time syndrome.

8. Both quantitative and qualitative measures are used to analyze comparative benefits of alternate program strategies.
9. Cost reduction is not the criterion of success. Equal cost alternatives can be generated as a basis for making decisions on the best buy for the schools.
10. Cost implications of current decisions regarding long-range undertakings are determinable.
11. Cost accounting procedures are a part of the system.
12. The system makes the measurement of performance and the placement of accountability possible.

The performance management system is a comprehensive means for improving the management of education and paves the way for a truly effective system of accountability. It does have some limitations which should be recognized. These include:

1. States generally do not recognize the use of program or performance budgets which are a part of the system. Consequently, two accounting systems usually have to be maintained.
2. An extended period of time is required for the development and implementation of a comprehensive

management system. Three to five years are usually needed.

3. Most school systems do not have the expertise needed to develop and implement such a system. The cost of employing consultants is a deterrent.

4. Relevant measures of performance are not available for all educational objectives. While progress is being made, much more work needs to be done to develop performance indicators and means of measurement. Overemphasis on currently available performance measures could result in the neglect of certain areas of educational need.

CONCLUSIONS

If results are to be measured and demonstrated for educational effort, then a comprehensive system of accountability must be utilized. It is far from sufficient to induce private enterprise to contract for the performance of limited instructional services. It could be argued that performance contracting is a necessary condition to the improvement of education. On the other hand, it can likewise be argued that it is not sufficient because of its limitations. A more comprehensive approach is needed.

The competitive systems approach threatens the existence of public education. The current strains and stresses of our social system call this approach into serious question. Rather than improve education, the strategies offered by this approach are likely to drain off badly needed funds and ultimately destroy the public schools.

Accountability, in a comprehensive sense, is a desirable goal. A system is needed which generates a process of management utilizing objectives which are observable and measurable. Such a system can help generate strategies and programs for the accomplishment of objectives and provide a basis for measurement of performance. Procedures for determining cost effectiveness are essential elements in assessing performance. Measures of performance and the cost effectiveness of an educational program are outputs of a performance management system. Therefore, one can argue that only a performance management system provides all of the essential ingredients of a truly comprehensive accountability system.

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THE SCHOOL IS NOT A SACRED BULL

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Until now teachers have gone about their regimens undisturbed and often unobserved by non-students. The domain behind the door of Room 222 has been sacrosanct. But now that door and the doors of all other classrooms are being beseiged. The curiosity of the school patrons and governmental superordinates is beginning to demand investigation of the madness behind each method. Not only are individual teachers being called upon to bare themselves, but also schools and school systems are coming under closer scrutiny than ever before. Many of the people who contribute to a child's education are now being asked to account for their parts, their roles and actions.

WHAT IS ACCOUNTABILITY?

The present hue-and-cry for accountability is not new. It is the insistence of the public that governmental management answer not only for the final result but also for each and every step by which that result is reached. Managers of organizations "are required to do their work in such a

way, that, actually or contingently, their every move may be opened to public scrutiny /John A. Veig in Marx, 1959, p. 54/." Three concepts, according to Corwin (1965), are necessary to keep in mind: 1) power, the ability to perform an act; 2) authority, the right to do so; and 3) responsibility, the obligation to do so.

> Authority belongs to the job and stays with the job. . . Because responsibility is the outcome of interweaving. . . we often find it. . . difficult to "fix" responsibility. . . /Follett in Urwick and Metcalf, 1942, pp. 149-151/.

Authority is commensurate with responsibility, which is the legal authority, compliance with general moral obligations, or responsiveness to other people's values. Simon (1950) carries this further in citing the Hoover Commission:

> Responsibility and accountability are impossible without authority--the power to direct. The exercise of authority is impossible without a clear line of command from the top, and a return line of responsibility and accountability from the bottom to the top /p. 532/.

Accountability when performed efficiently renders synthesis of organization rather than division. He who delegates authority for organizational tasks retains the responsibility for seeing that the duties he delegated are

performed. Lounsby Fish (in Hudson, 1948) defines responsibility as:

> 1. The primary obligation of the job--variously termed the basic responsibility, the "contract," the province and scope, the mission, task or objective.
> 2. The principal component functions or responsibilities involved in acheiving the main objective.
> 3. The relationships or mutual obligations between the organizational component or position concerned and other components or positions with which it must deal.
> 4. The extent of and limits upon the authority which the position is expected to exercise /p. 96/.

Responsibility, moreover, tends to be cumulative; he who is answerable or he who is held ultimately accountable is likely to be at the top of the organizational pyramid. In the end, the chief administrator of the program is the one who answers for the results.

> To discover to whom the administrator is responsible, we must first discover to whom he is accountable. By accountability we mean those methods, procedures, and forces that determine what values will be reflected in the administrative decisions. Accountability is the enforcement of responsibility /Simon, 1950, p. 513/.

Simon (1950) further states that accountability can be perceived in two ways: 1) its formal processes through and to the court system, the legislature, and/or the executive hierarchy, and 2) its informal modes--bureau philosophy, needs of the personality, professionalism and expertness (code of ethics), or political and social philosophies.

The key to holding an individual or unit accountable is the provision of all the resources necessary to perform whatever the job is.

> When an administrative unit is given a job, it is a good idea to allocate it budgetary resources, personnel, formal authority, and other resources of sufficient quantity so that, if its resources are used with a reasonable degree of efficiency, and if its staff are reasonably capable in securing cooperation from others, it will be able to carry out the task assigned to it /Simon, 1950, p. 216/.

Only when the wherewithal is present can the public, those interested in organizational efficiency, expect that organization to answer for its action.

ACCOUNTABILITY AND EDUCATION

> Although millions of parents and millions of taxpayers have a stake in the nation's educational system, they have no means to evaluate its effectiveness in terms of desirable goals and have no

> way of knowing whether, over the years, the quality is improving or falling behind /Hightower, 1968, p. 5/.

Today, the question, "What are we paying for?" is being asked more and more by those who subsidize education. There is the growing realization that the school is not just a place where a child spends time while maturing. Education is business-like, not merely custodial, and rational educational management is the answer to the provision of equalized opportunities and equity of results. The Educational Commission of the States (formerly the Committee on Assessing the Progress of Education) has attempted to determine the extent to which education, in general, is operating effectively as a mechanism for encouraging, stimulating, and directing learning, something that has not usually been included in assessment /Tyler in Beatty, 1969, p. 4/. The problem is that their approach is too global and does not answer local inquiries for accountability. What parents want first is quality education for their own children. National assessment is a political issue.

In May 1965 the Executive Committee of the Association for Supervision and Curriculum Development established the

Council on Assessment of Educational Outcomes. It charged the Council:

> 1. To determine appropriate objectives of assessment for individuals, teachers, the school system, and governmental agencies;
> 2. To analyze critically existing assessment procedures in the light of such objectives;
> 3. To explore broader aspects of assessment relating to individual growth and educational objectives, including the place of local, economic, and social conditions and values and the effects of assessment processes on students, teachers, and programs; and
> 4. To stimulate new approaches designed to tap the broadest possible spectrum of individual learning and growth /Beatty, 1969, p. iv/.

From this impetus several writers have approached assessment as the means of accounting for educational outcomes. Ralph Tyler (in Beatty, 1969, p. 8) sees the function of the school's teaching as developing "young people whose behavior outside the classroom is effective and significant." He breaks down the purposes of assessment (in Beatty, 1969, pp. 3-12) into categories of 1) pupil readiness, to determine if the pupil is equipped to pursue the next step of learning, 2) diagnosis, or "troubleshooting," 3) individual guidance, to provide for the individual's continuing development, 4) examination of innovations in curriculum development, 5) appraisal of the effectiveness of various kinds of

learning materials and procedures, 6) discovering problems in the education program before they can run rampant and wreak havoc, and 7) college placement and admission.

In recognizing the areas which need to be examined, Tyler (in Beatty, 1969, p. 12) also suggests that are problems.

> We teach with the notion that there is something to be learned; it is the understanding of a concept, it is the development of a particular skill, or it is the acquiring of a new insight into human relations. We need to discover whether or not the youngster is acquiring this skill or this understanding or this attitude; it is not a scaling problem but a problem of sampling well enough the basic notions of a concept or the basic aspects of a skill to see whether the learning is taking place.

The key here is that learning is dynamic and hence cannot be measured well or usefully by static criteria. But then this has always been inherent in educational measurement--do scores, ranks, or grades adequately reflect those behavioral objectives we are seeking to define or measure?

Enter operationalism! In order that we be able to freeze a moment of intellectual growth by measuring a specific concept or objective, researchers, psychometrists, and assessors must resort to defining their elusive butterflies--achievement, intelligence, etc.--through operational

definitions; that is, the concept to be examined is described by the variable that will measure it, or is spelled out through the operations that the investigator manipulates in order to observe the desired variable. Intelligence cannot be hung on the wall, nor can achievement be demonstrated by a grade-point average.

Robert Stake (in Beatty, 1969, p. 15) operationally defines his conception of evaluation (assessment):

> As evaluators we should make a record of all the following: what the author or teacher or school board intends to do, what is provided in the way of environment, the transactions between the teacher and the learner, the student progress, the side effects, and last and most important, the merit and the shortcoming seen by persons from divergent viewpoints.

He then poignantly states the crux of educational evaluation--distinguishing between that which is purely rational (logical) and that which is empirical. Intuition of growth, subjective evaluations (no matter how logical) of performance, and feelings of achievement are against what the demands for accountability are railing. It may be pleasing to a parent to know that his child "seems to have improved," "has developed a better attitude," or "is doing well," but what does all that really mean?

Evaluation is geared to communicating the outcomes of the educational program, but the "quality of the evaluation will not exceed the quality of the communication /Stake in Beatty, 1969, p. 34/." As language is an approximation of absolute concepts, so is the communication of what is being measured. The more precise the definitions of goals and objectives, the more adequate will be the communication of the results. Herein lies the major barrier to accountability. While the results may be present, if those who ask to be shown the degree (quality) of education cannot understand the evaluation, with its sometimes abstruse and in-group language, then there arises discontent with the program. Heretofore, it may have been sufficient that only researchers and, possibly, educational practitioners comprehend the jargon and results of assessment; however, the public no longer is satisfied to take the school system at its word. Daniel Stufflebeam (in Beatty, 1969, p. 51) has enumerated

> three types of conceptual problems which prevent educators from providing effective evaluations. These are:
>
> 1. A lack of understanding of decision processes and information requirements in current programs of educational change
> 2. The lack of a definition of educational

evaluation which is pertinent to emergent requirements for educational evaluation

3. A lack of appropriate designs.

Stufflebeam (in Beatty, 1969, p. 53) sees evaluation as:

> the provision of information through formal means, such as criteria, measurement, and statistics, to provide rational bases for making judgments which are inherent in decision situations.

The decision situations he mentions might be the establishment of educational priorities, the implementation of a program of curriculum aids (such as teaching machines), or the reduction of the pupil-teacher ratio. Serving decision situations are, according to Stufflebeam (in Beatty, 1969, pp. 61-5), four finds of evaluation: 1) context, which defines the environment where change is to occur, the unmet needs of the environment, and the problems underlying the needs, 2) input, which determines resource utilization to meet the goals and objectives, 3) process, which examines the designed course of action, and 4) product, which determines the effectiveness of the project after it runs its cycle. And here it is that the depth of accountability begins to come into focus.

The self-contained classroom, the autocratic (autonomic) teacher, and the inability of administrators to relate program objectives and results are all examples of a de facto accountability gap. There may not have been an attempt to mystify education or to fail in supplying adequate information to interested lay persons; nevertheless, the need for better accountability measures has been voiced.

> In its most basic aspect, the concept of educational accountability is a process designed to ensure that any individual can determine for himself if the schools are producing the results promised /Lessinger, 1970, p. 52/.

Lessinger (1969b) sees the roots of accountability as founded in educational engineering processes whose major components are performance contracting, independent educational accomplishment audits, management support groups, and developmental capital. He feels that therein lies an "equity of results," the logical progression of "equalized educational opportunities." Educational managers are the evolution of the roles traditionally filled by teachers, supervisors, and administrators. The closer education comes to assuming a business-like atmosphere, the easier it will be for questions of accountability to be answered. Education must involve

people who have a rationality about educational planning, a knowledge of the realities of education, and a deep concern with the quality of educational experiences. The question is, then, who shall be held accountable and to what extent?

The responsibility of education falls to all those involved in the process of education. Each person is answerable for his part. The "press for performance. . . is the real revolution in the schools today. . . /White, 1969, p. 595/," and each individual contributes to that criterion of performance in that his job in some way affects the process of education. The minimization of extraneous influences is imperative in providing the highest level of performance. both individually and program-wide. As there is a chain of command in any organization, so too it is suggested that there is a pyramid of accountability in the public schools. Ultimately, the school board is responsible; however, the superintendent has the authority to implement the policies established by the power of the board through system-wide procedures, rules, and regulations. Likewise, the school principal is responsible for the implementation of the educational program, in all aspects, within his building, and he is held

accountable by the superintendent (and also by the school patrons). And the classroom teacher is primarily responsible for carrying on a program of instruction; the onus of her accountability extends only as far as the realm within which she performs her designated functions.

Bain (1970, p. 413) asserts that at the level of the teacher, there must be legal provision for self-governance in order to establish a professional destiny.

> At a minimum, this includes transferring . . . the following: 1) authority over issuing, suspending, revoking, or reinstating the legal licensure of educational personnel; 2) authority to establish and administer standards of professional practice and ethics for all educational personnel; 3) authority to accredit teacher preparation institutions; and 4) authority to govern in-service and continuing education for teachers.

In other words, she argues that teachers should have educational <u>power</u> and <u>authority</u> (as defined by Corwin), as well as educational <u>responsibility</u>, before they may be held accountable.

Meade (1960, pp. 50-1) carries this further in stating that "governance is based on responsibility, and responsibility implies accountability." With the question of governance and

accountability comes a question of perspective: Who is most responsible for education--those at the bottom of the organizational pyramid, or those at the top? If the teachers are to be only employees, functionaries carrying out specific tasks designed to produce specific objectives, then their responsibility and accountability are minimal. However, if the performance of teaching (and the subsequent learning which is to occur) is the locus about which the program revolves, then the amount of responsibility increases, as does the level of accountability, and the demand for self-governance is justified. Teacher involvement in decision situations would then be imperative, and evaluation would incumbently come from within the profession, as well as from without. It must be realized that the greater the level of responsibility and accountability, the greater the realm of authority--and with public education this means the greater involvement of the public, because it is to them that those responsible for school programs are ultimately answerable.

If public education is to survive and to continue to be functional and effective, an increase in the amount of accountability in the ease with which the public can determine the extent of educational outcomes is imperative. Any and all

programs and innovations will utilize some variations of Stufflebeam's evaluation criteria (context, input, process, and product), and the results of that evaluation will have to be accurately and faithfully reported to adequately account for the functions and purpose of public education. There is nothing sacred about any educational method--if teachers become educational managers who are more mobile and who have more time to manipulate individual programs of instruction with better and farther-reaching results, who can staunchly find justification for the 30:1, self-contained autocratic-teacher classroom? The caveat here is to be sure you have something of value on which to base your change before you scrap tradition completely.

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THE ACCOUNTABLE INNOVATOR

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The phrase, "The Accountable Innovator," was chosen as a title for this paper for two reasons: 1) the theme of DESP this year is accountability and 2) the principal serving as an agent of change and innovation is perhaps the most enduring concept that has been attached to the principalship over the years.

This organization should be applauded for choosing accountability as its theme. It is not the only organization to have done so. Let it be, however, one of the very few organizations that fully understands that the term, "accountability," refers to a <u>means</u> to an end and is not an <u>end</u> in itself. In other words, accountability as a concept would be equally effective in teaching each of the first graders to read or in organizing the work of an assembly plant.

How often have you, as principals, heard comments such as: "the educational needs of children are greater today than every before!","the elementary principal must be an innovator!", "if the principal would just leave me alone the children would learn something!", "our children are learning

no marketable skills in school!" or, "you really can't expect me to serve on another committee!" These and a thousand similar and contradictory statements are heard with such regularity that today's elementary principal finds himself in one endless role conflict. There simply is no way to satisfy the legitimate demands of everyone.

The purpose of this paper is to explore what being a responsible change agent (or better yet, an accountable innovator) implies. A whole world of variables seems to be neatly overlooked by those who exhort us to expand our innovative efforts. But no argument counter to the idea of principals serving as agents of change will be presented. The idea of "change for the sake of change," however, is a dangerous dictum; one that can destroy the learning opportunities of children and the morale of teachers. Thus, this discussion is reduced to the basic question of how the principal brings about <u>those</u> changes which improve learning opportunities and enhance the self concepts of students and teachers.

Before proceeding along with that discussion, the perspective used in this paper must be shared. For years writers and speakers have extolled the virtues of their particular viewpoints with statements of varying intensity. There were those who were so forceful and so dynamic that one just wanted

to mount up and charge out into the arena of better school practice. There were others who were so thorough and so persuasive that one had the feeling that to criticize their arguments was to expose his personal stupidity.

Neither form of persuasion is attempted in this paper. You will not be exposed to arguments which sound like, "Come on principals, do these things and you'll be on the road to better innovations." Instead, a model of a principal acting responsibly as an innovator will be presented for your consideration. The model will only be briefly described because of space limitations. In fact, some of the dimensions will be ignored completely. The thing to remember is that a model is being described and not some practice now in existence somewhere.

Such a model has a particular use, a special purpose. It serves as a backdrop against which practitioners can compare their personal efforts.

Such a comparison permits them to see where actual practice varies from the ideal, the model. The great difference between this "model" approach is simply that the writer is not in a position to admonish anyone. He simply may say, "Here is an idea. Take it if you wish, argue with the consistency or logic, place your own situation against it, and

decide what to do about the discrepancies between your situation and the model."

One brief example serves to demonstrate how this approach can be utilized. The ungraded primary is a relatively recent idea from John Goodlad and others. Basically, the idea consists of a three year program with children entering at about the age of six and completing all of the work at the age of eight, nine, or ten. All work is individualized. The child proceeds at his own pace, teachers are guides to learning, and so on. All of these dimensions are part of the ungraded model. They are part of the ideal--not part of the actuality of an Atlanta inner city school. So, if one happens to be the principal of that Atlanta inner city school and he is trying to evaluate the possibility of ungrading his primary unit, he begins by placing his actual situation against the model. Does his primary grade staff members see themselves as the disseminators of truth or as guides to the learning of each child? Does his parents expect their children to progress from grade one to grade two to grade three and to receive all the usual trappings of such progress such as marks, etc., etc., etc.? These and other questions enable the practitioner to determine whether or not the model has any use for him. Where the descrepancies are too

great, he must simply say, "No, I cannot have an ungraded primary." Where the differences are not insurmountable, he has guidance as to what things must be done to install the innovation. Above all, the practitioner avoids the "band wagon" trap that characterizes so many of our educational innovations.

With this as a perspective, it is possible to move on to the model of the accountable innovator. Study the model only for its logic and its consistency. It is the ideal rather than a prescription for your behavior.

The question of how the responsible administrator actually accomplishes a contemplated change is the heart of the model. Before a discussion of such techniques have meaning, however, the innovator must address himself to and answer affirmatively three fundamental questions:

1. Is the innovator convinced that changes are necessary in his school?

2. Does he have the personal courage and stability to be a change agent?

3. Has the innovator created an environment in which his teachers feel free to innovate, to experiment, and perhaps to fail?

There are many subleties in each question. None are easy to identify, and all are difficult to satisfy. Taking each question separately: <u>Is the innovator convinced that</u>

changes are necessary in his school?

Mentally, look around at your own school. What is going on? Do you know what the children are learning? How rapidly is their learning taking place? What methods are your teachers using to bring about the present learning rate? These are the "existing status" questions, and you must have the answers immediately available. That is, in fact, what the accountability movement is all about. Principals and teachers must be able to say, "These things are being accomplished right now in the classrooms of this school. These data substantiate what we say." No longer can principals say, "I know that Mr. Kelly in the fifth grade is a good teacher and his children learn a lot." Rather, the principal should be able to say things such as, "Mr. Kelly's children typically progress from level X to level Y in science, from level A to level D in creative writing, but only from level G to level H in physical education." Armed with these and similar generalizations of other faculty members, the innovator and his staff are in a position to think about what changes, if any, should be considered.

There are other elements to the question of whether or not changes are necessary. Some of these can be highlighted

through series of questions. Return mentally once again to your own school.

What about the students? Do they have qualities similar to those students of last year? or five years ago? Most school populations have changed rather substantially in the past five years. Court orders and busing have encouraged changes in many schools but far more frequently, school populations have been affected by neighborhoods changing socially, economically or ethnically. How well have the needs of these new children been identified? What is being done differently to mediate the identified deficiencies or to build on the recognized attributes?

What about the teachers? Is the staff made up of the same teachers we had last year? or five years ago? Teachers retire, get married and move, or start families. How is the instructional program being strengthened by Miss Brownston, the new teacher with a major in biology? Or, how has Mrs. Girard's strength in the Language Experience Approach been replaced after she moved from the city last year?

What about the parents and community? If a school is serving different children it is also serving parents with different expectations for the school. But times change as well--and communities, including parents, entertain different

expectations for the school over a period of years. For example, two major current national concerns revolve about drug usage and violence. Regardless of the root causes or the ages of our students, schools are expected in the instructional program to make a serious attempt to mediate these problems.

What about knowledge? Nothing really needs to be said other than listing items such as moon landings, environmental concerns, new wars, and so forth. Expanding knowledge pleads its own case for attention in the school's program.

All of these mental gymnastics are designed to mount a powerful argument for change. The red warning flag must be raised one more time, however, to reiterate the simple point: the innovator cannot make decisions about changes until he has specific documentation of what is taking place in his school.

Does the innovator have the personal courage and stability to be a change agent?

This is perhaps the most intriguing of the three questions because it deals not with what the innovator does but with what he is. Look at what happens as an innovative principal works through the procedure of installing an innovation. Any innovation could be used as an example for there appears to be a common pattern of roles the principal plays.

Initially, the principal plays a central, directing role. He involves faculty members in conceptualizing the entire innovation, in defining goals and objectives, in selecting appropriate instructional strategies and in establishing precise evaluation procedures. As the innovation gets underway, the principal's role changes to that of facilitation. He gathers necessary resources, arranges schedules, and generally attempts to remove any threats to the success of the innovation. Finally, as the innovation becomes an established element in the instructional program, the principal assumes a supporting role. About his only visible relationship with the innovation is as the official host and guide to the inevitable visitors who come to study the innovation. Thus, one part of the answer to the question regarding personal courage and stability is that the principal who conceptualizes his role as actively directing every phase of the school program is not likely to be an innovative principal. He simply is unable to conceive of his role as standing in the wings watching the actors carry out the drama.

Another aspect of the question has to do with the pressures that bear down on the innovative principal. The research literature of organizational behavior is filled with descriptions known as the "rate buster" phenomenon. The rate

buster is the person who refuses to accept the performance level agreed upon by his peers. Such rates may be established according to the number of radios assembled per day, the number of letters typed per hour, or whatever--but the rate buster consistently accomplishes more work than his fellow workers. What typically happens to the rate buster is that he is punished by his fellow workers. They might isolate him socially or resort to some more stringent form of punishment until he conforms to the established rate or leaves. Whichever outcome occurs, however, the threat to the group of workers posed by the rate buster is removed.

The innovative principal runs the risk of being viewed as a "rate buster" by those principals who are willing to allow each new year to follow the pattern set by the previous one. By innovating, a principal can make the others appear to be shabby and dull. Does the potential innovator have the balance to withstand the slights and innuendoes of his fellow principals? And don't think for a minute that he will somehow be spared from such barbs. When anyone, even his best friend, is threatened by a fellow principal's behavior, that person will lash out and retaliate in one way or another.

The final dimension of this question deals largely with conditions over which the principal has little control. It

has been demonstrated in several research studies that the administrator promoted to his present position from within the system is less likely to be innovative than the administrator who comes from another district. The phenomenon was first identified by Carlson (1962) in his study of place-bound (inside the district) and career-bound (from the outside) superintendents.

The reason it is harder for the principal promoted from within is that the expectations held for him by his faculty, parents, and children are the same expectations held for his predecessor. (Incidentally, it is doubly difficult for the faculty member promoted from within his own school to the principalship. He helped to create the expectations now being held for him.) The presumption, of course, is that once the principal understands the expectations others hold for him, he will conform to the expectations. And by conforming to the expectations, the principal finds it nearly impossible to swerve significantly from his predecessor's pattern.

One interesting addendum to this particular discussion was pointed out by Theodore Sorensen (1963) when he described the decisions of President Kennedy. Sorensen's comment was

that the longer President Kennedy was in office, the more his decisions were dictated by his past decisions. Here again is a pressure to be understood by the innovator. He must have the courage to turn his back on values and decisions he thought correct at an earlier time. When the administrator finds it necessary to defend forever his previous actions, he will find it increasingly difficult to recognize the need for innovation.

Has the innovator created an environment in which his teachers feel free to innovate, to experiment, and perhaps to fail?

One of the best descriptions of the type of organization needed to encourage innovation was provided by Matthew Miles (1965) when he listed twelve characteristic attributes of a healthy organization.

1) Awareness, a sensitivity or openness to events (as opposed to ignoring, denial, and blindness to events)
2) Authenticity, the sending of genuine data (as opposed to concealment, dishonesty, and well-meant "tact")
3) Trustfulness, confidence in the expected actions of others (as opposed to suspicion)

4) Inquiry, a curious, skeptical, questioning, hypothetical stance (as opposed to unreflectiveness, or acceptance of snap answers and received doctrine)

5) Objectivity, data-based problem resolution (as opposed to blaming, avoidance, and authoritarian dependence)

6) Collaboration, giving and receiving problem solving help on an even status basis (as opposed to domination, manipulation, or arbitrary exercise of authority)

7) Changefulness, an active seeking, open stance toward change (as opposed to rigidity, conservatism, or compulsive repetition of existing routine)

8) Altruistic concern, a feelingful sense for others in any encounter (as opposed to unconcerned withdrawal)

9) Concensual decision making, use of fullest possible data from concerned parties (as opposed to mechanical voting and veiled coercion)

10) Competence-based power, influence exerted on the basis of knowledge, data, and skill (as opposed to organizational position, charisma, or fear of penalty)

11) Emotionality as data, the use of feelings of self and others as legitimate data in decision making (as opposed to empty rationality and impersonality)

12) Individuality, unusual, deviant, creative, oddball stances (as opposed to routine, conservative, usual approaches to life)

STEPS FOR INNOVATION

Up to this point, the discussion has been entirely concerned with readiness for innovation. The reason for such a great emphasis was simply that "innovators" rarely stop and ponder such questions as are changes needed? Am I strong enough to innovate? or have I created an organization capable of supporting innovations?

For the purposes of this paper, it can be assumed that all of these questions have been answered affirmatively and a change in the program of instruction to accomplish a specific objective is desired. /The writer is indebted to Dean Richard Barbe (1970), Associate Dean of the School of Education, at

Georgia State University, for his guidance and direction in this phase of the paper./ As an example, assume that the data indicate the children in Mrs. Franklin's fourth grade low reading group are having a difficult time with word attack skills. Upon careful checking, the same problem is found in the other fourth grade classrooms. A reading specialist from the central office of the district confirms the findings through the use of additional diagnostic instruments. He also indicates that the present reading program, while very strong in other aspects of reading, does not have the strength to mediate this particular problem.

The question now raised is, "How is this recognized and documented problem mediated?" Obviously, something more has to be done. This state of affairs leads the staff to the first decision point. The school must recognize that the existing system is not adequate for this problem. Notice what type of decision has been made. It is a "no" decision. The staff has refused to adopt the existing system of reading instruction as a solution to the problem and thereby, has taken the first step toward innovation.

Once this first decision is made, a second is needed. It must be decided to either adapt the solution that has

worked in other situations to our problem or to create an entirely unique solution. (A solution that as far as can be determined has never before been attempted.)

There is strong appeal to adapting the solution of another school to one's own setting. The effectiveness of the solution is presumably known,and there is certainly less risk of failure attached to the use of a proven solution. There are two cautions, however, to be kept in mind. Before adapting another's solution, complete technical information about the original innovation must be known:

a. In what type of school setting did the original innovation occur? (Was it in a laboratory school? an inner city school? a middle class suburban school? etc.?)

b. What were the characteristics of the students in the test group?

c. How much preparation and training were necessary for the participating teachers?

d. What evaluation techniques were used?

e. What were the results of the experiment?

The second type of information that must be known has to do with the <u>resources</u> utilized in the original experiment:

a. What materials were used?

b. How much teacher time and other human resources were required to install the original innovation?

c. What classroom and other instructional spaces were required?

d. Was data processing equipment required for the evaluation procedures?

Once such information has been gathered, the staff is in a position to decide whether or not the adaptation of the original innovation is a viable alternative for the school. The entire procedure, of course, is a lot of trouble and many educators do not make the effort. But it is this sort of non-accountable behavior that results in either no solution to the identified educational problem or some prostituted version of the original innovation, improperly installed, not suited to the target population, and doomed to failure from the outset.

The advantage of "going one's own way" and creating a unique solution to an educational problem is in the matter of "fit." It is not necessary, for example, to gather complete information on some original student population, type of school, and so forth because everything about the new innovation will be designed to meet the word attack problem of our particular fourth grade students.

This does not mean, however, that it is easier to come up with an original innovation. Quite the reverse is true because of the creative dimension to innovating. In fact, it is quite probable that the staff will be unable to create a solution to the word attack problem. Under such circumstances some staffs might give up, although most would turn to sources outside of the school. Normally, such help is available in the central office of the district or at a neighboring university. A recent trend has been the contracting of such problems out to private, reputable companies.

Regardless of the source of the creativity, the risk of failure is great. And perhaps the greatest sin of all is to continue an innovation after it has not proven to be effective. To avoid this pitfall requires the continuous evaluation of the innovation in terms of the stated objectives. There is nothing new in saying that our instructional objectives must be stated behaviorally. It is doubly important to state the objectives of an innovation behaviorally because of the continuing need for evaluation.

If the innovator is trying out an innovation designed to improve the word attack skill of fourth graders, he must be able to say with certainty that at specified times throughout the experiment, the innovation is or is not improving

those skills. He must not equivocate on this point. Either the fourth graders can attack new words with, for example, a 75% accuracy after two weeks exposure to the innovation or they cannot.

This need for rigorous evaluation when innovating cannot be stressed enough. The innovator must be in a position to recognize failure when it occurs. Recognizing it, he can move with his staff to a different and perhaps more successful innovation. It makes absolutely no difference if the first innovation creates good feelings in the teachers and children: <u>if it does not produce the desired behavioral change in the target population</u>, the innovation must be scrapped without remorse.

In summary, it is easy to write the words that principals should be agents promoting change in their schools. It is quite a different matter, however, to say that they should be accountable innovators by recognizing a specific change that must be made, by preparing themselves personally to play the role of change agents and by creating within their schools an atmosphere conducive to change. Furthermore, once the stage has been set, they must design the innovation in terms of how well that goal has been accomplished.

As the Queen said to Alice, "A slow sort of country. Now here, you see, it takes all the running you can do, to keep in the same place. If you want to get somewhere else, you must run at least twice as fast as that!"

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